



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of: Lundy Lewis, *et al.*

Serial No.: 09/481,643

Filed: January 12, 2000

For: *METHOD AND APPARATUS FOR
INTEGRATED NETWORK MANAGEMENT AND
SYSTEMS MANAGEMENT IN COMMUNICATIONS
NETWORKS*

Attorney Docket No.: APB-014CNRCE3

Group Art Unit: 2176

Examiner: Chau Nguyen

MS RCE
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

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Date of Deposit June 21, 2005

I hereby certify that this transmittal letter and the papers referred to as being enclosed therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the MS RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Signature

David R. Burns

Please Print Name of Person Signing

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

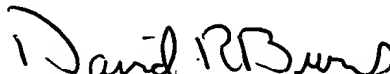
Applicants and their Attorney are aware of the following publications and information, listed on the attached PTO Form SB/08, and in accordance with 37 CFR §1.97 hereby submit these publications for the Examiner's consideration. A copy of each cited publication is enclosed.

This statement is not to be interpreted as a representation that the cited publications are material, that an exhaustive search has been conducted, or that no other relevant information exists. Nor shall the citation of any publication herein be construed *per se* as a representation that such publication is prior art. Moreover, Applicants understand that the Examiner will make an independent evaluation of the cited publications.

Applicant brings to the Examiner's attention sheet ten of the attached PTO/SB/08. More specifically, the non-patent literature identified by citation numbers RX152 to RX154 are being identified at this time although copies are not provided herein. The Patent Owner is diligently working to obtain copies for submission as a Supplemental Information Disclosure Statement.

In accordance with 37 CFR §1.97(b)(1), no additional costs are believed to be due in connection with the filing of this Information Disclosure Statement. However, please charge any necessary fees in connection with the enclosed statement to our Deposit Order Account No. 12-0080.

Respectfully submitted,
LAHIVE & COCKFIELD, LLP


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Date: June 21, 2005

DRB/KJC/rl
Enclosures



PTO/SB/08a/b (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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Substitute for form 1449A/B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)			Complete if Known		
			Application Number	09/481,643	
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Sheet	1	of	10	Attorney Docket Number	APB-014CNRCE3

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	RX001	3,036,290	05-22-1962	Zarouni, A.	
	RX002	4,622,545	11-11-1986	Atkinson, W.D.	
	RX003	5,107,497	04-21-1992	Lirov, Y.V., <i>et al.</i>	
	RX004	5,123,017	06-16-1992	Simpkins, L.G., <i>et al.</i>	
	RX005	5,125,091	06-23-1992	Staas, Jr., P.C., <i>et al.</i>	
	RX006	5,133,075	07-21-1992	Risch, T.J.M.	
	RX007	5,226,120	07-06-1993	Brown, B., <i>et al.</i>	
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Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

NON PATENT LITERATURE DOCUMENTS			
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	RX011	Adler, R., <i>et al.</i> "Opera - An Expert Operations Analyst for a Distributed Computer System. <i>IEEE</i> . 1998; 179-85.	
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	RX013	Amsel, E. "Network Security and Access Controls." <i>Expert Systems Applications in Integrated Network Management</i> . Elsevier Science Publishers, Ltd. 1988, 346-58.	
	RX014	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Day 1: Transcript of Markman Hearing" October 28, 2004, pp.1-114.	
	RX015	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Day 2: Transcript of Markman" November 4, 2004, pp.1-103.	
	RX016	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Deposition of Leonard J. Forsys" July 15, 2004, pp.1-311.	

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	RX017	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Videotaped Deposition of Mani Subramanian" July 22, 2004, pp.1-226.		
	RX018	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Memorandum and Order" January 11, 2005, pp.1-33.		
	RX019	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Rule 26(a) Report of Mani Subramanian" June 4, 2004, pp.1-28 and Exhibits A-H.		
	RX020	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Declaration of Leonard J. Fors" January 11, 2005, pp.1-122 and Attachments 1-8.		
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	RX025	Boutaba, R., <i>et al.</i> "An Architectural Approach for Integrated Network and Systems Management." <i>ACM SIGCOMM Computer Communication Review</i> 1995 25(5):13-38.		
	RX026	Braden, R.T. "A Pseudo Machine for Packet Monitoring and Statistics." <i>ACM SIGCOMM Computer Communication Review</i> 1988; 18(4):199-208.		
	RX027	Buga, W.J. "Management of Telecommunications Services Provided by Multiple Carriers" in Krishnan, I. <i>et al.</i> , eds. <i>Integrated Network Management II</i> IFIP 1991; 343-55.		
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	RX029	Coates, J. "Artificial Intelligence: Observations on Applications and Control." <i>Expert Systems Applications in Integrated Network Management. Computer Security Institute</i> 1988 350-358.		
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	RX031	Day, C., <i>et al.</i> "Subnetwork Root Cause Alarm System Analysis - An Element Management Layer (EML) Operations Application." <i>IEEE</i> . 1994; 343-57.		
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	RX033	DeSalvo, D.A. "Knowledge Acquisition for Knowledge Based Systems." in Liebowitz, J., ed. <i>Expert System Applications to Telecommunications</i> Wiley, John and Sons, 1988, 267-303.		
	RX034	Embry, J., <i>et al.</i> "An Open Network Management Architecture, OSI/NM Forum Architecture and Concepts." <i>IEEE Network Magazine</i> . 1990 Jul; 14-22.		
	RX035	Ericson, E.C., <i>et al.</i> <i>Expert Systems Applications in Integrated Network Management. Artech House Telecommunications Library</i> . 1989 Jun; 1-345.		
	RX036	Feldkhun, L., <i>et al.</i> "Event Management as a Common Functional Area of Open Systems Management." in Meandzija <i>et al.</i> , eds., <i>Integrated Network Management, I</i> , IFIP 1989; 365-76.		

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	RX037	Feldkhun, L., <i>et al.</i> "Integrated Network Management Systems (A Global Perspective in the Issue)" in Meandzija <i>et al.</i> , eds., <u>Integrated Network Mangement, I</u> , IFIP 1989; 279-301.	
	RX038	Feridun, M., <i>et al.</i> "ANM: Automated Network Management System." <i>IEEE Network</i> . 1988 Mar; 2(2):13-9.	
	RX039	Filip, W., <i>et al.</i> "NetView in a Heterogeneous Environment: Implementation of an Experimental Agent Structure." in Hegering <i>et al.</i> , eds., <u>Integrated Network Management III</u> , IFIP. 1993; 505-17.	
	RX040	Finkel, A., <i>et al.</i> "An Alarm Correlation for the Heterogeneous Networks." <i>Network Management and Control</i> . 1994; 2:381-90.	
	RX041	Forbus, K. "Intelligent Computer Aided Engineering." 1988 AAAL 413-26.	
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	RX044	Goldman, J., <i>et al.</i> "Integrated Fault Management in Interconnected Networks" in Meandzija <i>et al.</i> , eds., <u>Integrated Network Mangement, I</u> , IFIP 1989; 333-44.	
	RX045	Goldsmith, S., <i>et al.</i> "Enterprise Network Management" in Meandzija <i>et al.</i> , eds., <u>Integrated Network Mangement, I</u> , IFIP 1989; 541-52.	
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	RX048	Harter, G., <i>et al.</i> "An Accounting Service for Heterogeneous Distributed Environments." <i>IEEE</i> . 1988; 297-324.	
	RX049	Hätönen, K., <i>et al.</i> "Rule Discovery in Alarm Databases." University of Helsinki Department of Computer Science Publication No. C-1996-7 1996 Mar; 1-19.	
	RX050	Hegering, H-G., <i>et al.</i> , eds. "Integrated Network and System Management, III." IFIP. 1993; 3-765.	
	RX051	Heywood, P. "A Cool Mom Makes It Easy." <i>Data Communications</i> . 1995 Jan; 24(1):120-1.	
	RX052	Jander, M. "Real Distributed Management" <i>Data Communications</i> . 1995 Jan, 24(1):116-118	
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	RX054	Hughes, D., <i>et al.</i> "Minerva: An Integrated Network Management System." AARNet Networkshop, December 1992 1-7.	
	RX055	"Information Technology - Open Systems Interconnection - Systems Management: State Management Function." <i>ISO/IEC 10164-2</i> . 1993 Jun 15; 1-23.	
	RX056	"Information Technology - Open Systems Interconnection - Systems Management: Alarm Reporting Function." <i>ISO/IEC 10164-4</i> . 1992 Dec 15; 1-18.	

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	RX057	"Information Technology - Open Systems Interconnection - Systems Management: Event Report Management Function." <i>ISO/IEC 10164-5</i> . 1993 Jun 15; 1-18.		
	RX058	"Information Processing Systems - Open Systems Interconnection - Basic Reference Model - Part 4: Management Framework." <i>ISO/IEC 7498-4</i> . 1989 Nov 15; 1-9.		
	RX059	Jander, M. "Rounding Out the Roster of SNMP Agents. <i>Data Communications</i> . 1995 Jan 1; 24(1):119-21.		
	RX060	Jankauskas, L., <i>et al.</i> "Technical Control of the Digital Transmissions Facilities of the Defense Communications System." <i>IEEE Transactions of Communications</i> . 1980 Sep; COM28(9): 1516-23.		
	RX061	Jordaan, J., <i>et al.</i> "Event Correlation in Heterogeneous Networks Using the OSI Management Framework." in Hegering <i>et al.</i> , eds., <i>Integrated Network Management III, IFIP</i> . 1993; 683-95.		
	RX062	Karp, B.C., <i>et al.</i> "The Secure Data Network System." <i>AT&T</i> . 1988; 337-45.		
	RX063	Kara, <i>et al.</i> "An Architecture for Integrated Network Management." <i>IEEE</i> . 1989; 191-5.		
	RX064	Katzela, I., <i>et al.</i> "Schemes for Fault Identification in Communication Networks." 1-32.		
	RX065	Kershenbaum, A., <i>et al.</i> , eds. <i>Network Management and Control</i> Plenum Publishing Corp. 1990; 1-448.		
	RX066	Klemba, K.S. "Openview's Architectural Models" in Meandzija <i>et al.</i> , eds., <i>Integrated Network Management, I, IFIP</i> 1989; 565-72.		
	RX067	Klerer, S. "The OSI Management Architecture: An Overview." <i>IEEE</i> . 1988 Mar; 76-84.		
	RX068	Kobayashi, Y. "Standardization Issues in Integration Network Management, Integrated Network Management I." in Meandzija <i>et al.</i> , eds., <i>Integrated Network Management, I, IFIP</i> 1989; 79-90.		
	RX069	Kooijman, R. "Divide and Conquer in Network Management Using Event-Driven Network Area Agents." 1995 May 11; 1-10.		
	RX070	Kotkas, V., <i>et al.</i> "Knowledge-Based Techniques for Network Management." <i>Technical Report TRITA-IT R</i> 1994 Mar 29; 1-20		
	RX071	Krishnan, I. <i>et al.</i> , eds. <i>Integrated Network Management II IFIP</i> 19913-857.		
	RX072	Laffey, T.J., <i>et al.</i> "Real-Time Knowledge Based Systems." <i>AAAI</i> . 1988; 132-50.		
	RX073	Lee, K-H. "A Distributed Network Management System." <i>Global Telecommunications Conference, 1994. GLOBECOM '94. 'Communications: The Global Bridge', IEEE</i> 1994 548-52.		
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	RX075	Lewis, L. "A Case-Based Reasoning Approach to the Resolution of Faults in Communications Networks." in Hegering <i>et al.</i> , eds., <i>Integrated Network Management III, IFIP</i> . 1993; 671-82.		
	RX076	Lewis, L. "AI and Intelligent Networks in the 1990's Into the 21 st Century." in <i>Worldwide Intelligent Systems</i> , Liebeowitz, J. <i>et al.</i> , eds. 1995 Sep; 109-224.		

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	RX079	Lirov, <i>et al.</i> "Artificial Intelligence Modeling of Control Systems." Simulation Councils, Inc. 1988, 427-39		
	RX080	Lusher, E. "An Expert System for Logistics Management." <i>AI Expert</i> 1988 31(9):46-53.		
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	RX082	Marques, T.E. "A Symptom-Driven Expert System for Isolating and Correcting Network Faults." <i>IEEE</i> . 1988; 251-8.		
	RX083	Mazumdar, S., <i>et al.</i> "Knowledge-Based Monitoring of Integrated Networks" <i>IFIP</i> . 1989; 235-43.		
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	RX087	Micromuse. "Media: Press Releases and Articles."		
	RX088	Micromuse. "Netcool/Utilities Extend Power and Reach of SunNet Manager." <i>Micromuse Press Release</i> , June 13, 1994		
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	RX090	Moffett, J.D. "Chapter 17 - Specification of Management Policies and Discretionary Access Control." in Sloman, M., ed. <i>Network and distributed systems management</i> Addison-Wesley 1994 455-80.		
	RX091	Moffett, J.D. "Policy Hierarchies for Distributed Systems Management." <i>IEEE JSAC Special Issue on Network Management</i> . 1993 Dec; 11(9):1-22.		
	RX092	Moffett, J.D. "User and Mechanism Views of Distributed Systems Management." <i>IEEE/IOP/BCS Distributed Systems Engineering</i> . 1993 Aug; 1(1):1-16.		
	RX093	Murrill, B. "OMNipoint: An Implementation Guide to Integrated Networked Information Systems Management" in Meandzija <i>et al.</i> , eds., <i>Integrated Network Management, I</i> , <i>IFIP</i> 1989; 405-18.		
	RX094	Noren, C., <i>et al.</i> "Interfacing an Expert Shell to On-line Applications for Communications Equipment Configuration Management." Noren & Ericson 1989; 182-91.		
	RX095	Oates, T. "Fault Identification in Computer Networks: A Review and a New Approach." Technical Report 95-113, University of Massachusetts at Amherst, Computer Science Department, 1995.		
	RX096	Olsen, L., <i>et al.</i> "Understanding Network Management with OOA." <i>IEEE Network Magazine</i> . 1990; 23-8.		

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	RX097	Partridge, C., <i>et al.</i> "HMES Variable Definitions." <i>Network Working Group RFC 1024</i> . 1987 Oct; retrieved from the internet at http://www.fags.org/rfcs/rfc1024.html 1-74.		
	RX098	Peacock, D., <i>et al.</i> "Big Brother: a Network Services Expert." University of Michigan 1988; 245-50.		
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	RX100	"Requirements for Internet Hosts - Application and Support." Network Working Group RFC 1123, 1989 Oct, retrieved from the internet at http://www.itetf.org/rfc/rfc1123.txt . 1-87		
	RX101	Roos, J., <i>et al.</i> "Modelling Management Policy Using Enriched Managed Objects." in Hegering <i>et al.</i> , eds., <i>Integrated Network Management III</i> , IFIP.207--15.		
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	RX103	Rose, M. "Network Working Group, Request for Comments 1155, Performance Systems International and Hughs LAN Systems, Structure and Identification of Management Information for TCP/IP-Based Internets." 1990 May; retrieved from the internet at http://www.fags.org/rfcs/rfc1155.html 1-22.		
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	RX105	Schaerth, J.P. "A Concept for Tactical Wide-Area Network HUB Management." <i>IEEE</i> . 1994 644-9.		
	RX106	Schaller, H.N. "A Concept for Hierarchical, Decentralized Management of Physical Configuration in the Internet." <i>KiVS '95 Chemnitz</i> . 1995 Feb 20-24; 1-14.		
	RX107	Schönwalder, J., <i>et al.</i> "How to Keep Track of Your Network Configuration." <i>1993 LISA</i> . 1993 Nov 1-5; 101-6.		
	RX108	Sidou, D. "Behavior Simulation and Analysis Techniques for Management Action Policies (or Hints Towards the Integration of Management Action Policies within TIMS)." Karlsruhe, September 20--21 1995 1-17.		
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	RX110	Skoog, R., <i>et al.</i> "Network Management and Control Mechanisms to Prevent Maliciously Induced Network Instability." retrieved from the internet at http://www.ee.umd.edu/~shayman/papers.d/noms_2002.pdf 1-13.		
	RX111	Sloman, M. "Chapter 16: Domains: A Framework for Structuring Management Policy." in <i>Network and Distributed Systems Management</i> . Addison-Wesley Publishing Company 1994; 433-53.		
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			Art Unit	2176	
			Examiner Name	Chau Nguyen	
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NON PATENT LITERATURE DOCUMENTS				
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	RX114	Sloman, M. "Policy Driven Management for Distributed Systems." <i>Journal of Network and Systems Management</i> . 1994; 2(4):1-22.		
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	RX117	Stamatelopoulous, F. <i>et al.</i> "A scaleable, platform-based architecture for multiple domain network management." 1995 June, retrieved from the internet at http://www.netmode.ntua.gr/papers/papers/manmib.pdf 9 pages.		
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	RX121	Summers, R., <i>et al.</i> "Potential Applications of Knowledge-based Methods to Computer Security." 1988 Dec. <i>Computers and Security</i> 7(6):359-71		
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	RX125	Terplan, K. <i>Communications and Network Management</i> . Prentice Hall 1990; i-xviii, 1-702.		
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	RX132	Wies, R. "Using a Classification of Management Policies for Policy Specification and Policy Transformation." <i>IFIP/IEEE International Symposium on Integrated Network Management</i> . 1995 May 1-5; 1-14.	
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	RX137	Aprisma Management Technologies, Inc. v. Micromuse, Inc. USDC NH 02cv559 "Second Amended Answer to Complaint for Patent Infringement and Counterclaim" May 6, 2004, pp.1-14.	

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	RX138	Cabletron's Spectrum Advanced Management System 3.0. "Network Management and Security, Real Distributed Management." Data Communications. 1995 Jan; 116-8.	
	RX139	Callahan, P.H. "Expert Systems for AT&T Switched Network Maintenance." AT&T. 1988; 263-73.	
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	RX151	Terplan, K. Communication Networks Management, 2d. Edition. Prentice Hall 1992 i-xviii, 1-702.	

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	RX152	ISO/IEC 7498-4 International Standard, Information Processing Systems – Open Systems Interconnection – Basic Reference Model – Part 4: Management Framework. Geneva: International Organization for Standardization, 1 st Ed., November 15, 1989.		
	RX153	"Network Management Protocols." IEEE Network Magazine. 1988; 2(2).		
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